



07-09-07

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant(s): Jones et al.

: Group Art Unit: 3694

Serial No.: 10/676,056

: Examiner: Shahid R. Merchant

Filed: September 30, 2003

: Attorney Docket No.: 006878.114502

For: METHOD AND SYSTEM FOR  
ANALYZING A CAPITAL  
STRUCTURE FOR A COMPANY

:

**INFORMATION DISCLOSURE STATEMENT**

Mail Stop Amendment  
Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

Sir:

This Information Disclosure Statement is filed pursuant to 37 C.F.R. 1.97(c)(2). In this regard, it is noted that there has not yet been a mailing of a final action, a notice of allowance or an action that otherwise closes prosecution.

Of further note, no representation is intended that a complete search has been made by the applicants or that no better art references than those provided herewith are available. Moreover, the filing of this Information Disclosure Statement shall not be construed to be an admission that the information cited is, or is considered to be, material to patentability.

07/09/2007 HDESTA1 00000021 501561 10676056

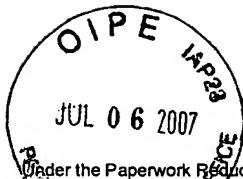
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Respectfully submitted,  
GREENBERG TRAURIG, LLP

By: /Matthew B. Tropper/  
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Dated: July 6, 2007

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PTO/SB/17 (07-07)

Approved for use through 06/30/2010. OMB 0651-0032

U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

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Effective on 12/08/2004.

Fees pursuant to the Consolidated Appropriations Act, 2005 (H.R. 4818).

# FEE TRANSMITTAL For FY 2007

Applicant claims small entity status. See 37 CFR 1.27

**TOTAL AMOUNT OF PAYMENT** (\$)  
180

**Complete if Known**

Application Number	10/676,056
Filing Date	September 30, 2003
First Named Inventor	Emerson Jones
Examiner Name	Shahid R. Merchant
Art Unit	3694
Attorney Docket No.	006878.114502

**METHOD OF PAYMENT** (check all that apply)

Check  Credit Card  Money Order  None  Other (please identify): \_\_\_\_\_

Deposit Account Deposit Account Number: 50-1561 Deposit Account Name: \_\_\_\_\_

For the above-identified deposit account, the Director is hereby authorized to: (check all that apply)

Charge fee(s) indicated below  Charge fee(s) indicated below, except for the filing fee

Charge any additional fee(s) or underpayments of fee(s) under 37 CFR 1.16 and 1.17  Credit any overpayments

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**FEES CALCULATION****1. BASIC FILING, SEARCH, AND EXAMINATION FEES**

<u>Application Type</u>	<u>FILING FEES</u>		<u>SEARCH FEES</u>		<u>EXAMINATION FEES</u>		<u>Fees Paid (\$)</u>
	<u>Fee (\$)</u>	<u>Small Entity Fee (\$)</u>	<u>Fee (\$)</u>	<u>Small Entity Fee (\$)</u>	<u>Fee (\$)</u>	<u>Small Entity Fee (\$)</u>	
Utility	300	150	500	250	200	100	_____
Design	200	100	100	50	130	65	_____
Plant	200	100	300	150	160	80	_____
Reissue	300	150	500	250	600	300	_____
Provisional	200	100	0	0	0	0	_____

**2. EXCESS CLAIM FEES**Fee Description

Each claim over 20 (including Reissues) Fee (\$) 50 Small Entity Fee (\$) 25

Each independent claim over 3 (including Reissues) Fee (\$) 200 Small Entity Fee (\$) 100

Multiple dependent claims Fee (\$) 360 Small Entity Fee (\$) 180

<u>Total Claims</u>	<u>Extra Claims</u>	<u>Fee (\$)</u>	<u>Fee Paid (\$)</u>	<u>Multiple Dependent Claims</u>
- 20 or HP = _____	x _____	= _____		<u>Fee (\$)</u> _____ <u>Fee Paid (\$)</u> _____

HP = highest number of total claims paid for, if greater than 20.

<u>Indep. Claims</u>	<u>Extra Claims</u>	<u>Fee (\$)</u>	<u>Fee Paid (\$)</u>	<u>Fee (\$)</u>	<u>Fee Paid (\$)</u>
- 3 or HP = _____	x _____	= _____			

HP = highest number of independent claims paid for, if greater than 3.

**3. APPLICATION SIZE FEE**

If the specification and drawings exceed 100 sheets of paper (excluding electronically filed sequence or computer listings under 37 CFR 1.52(e)), the application size fee due is \$250 (\$125 for small entity) for each additional 50 sheets or fraction thereof. See 35 U.S.C. 41(a)(1)(G) and 37 CFR 1.16(s).

<u>Total Sheets</u>	<u>Extra Sheets</u>	<u>Number of each additional 50 or fraction thereof</u>	<u>Fee (\$)</u>	<u>Fee Paid (\$)</u>
- 100 = _____	/ 50 = _____	(round up to a whole number) x _____	= _____	

**4. OTHER FEE(S)**

Non-English Specification, \$130 fee (no small entity discount) Fee Paid (\$) \_\_\_\_\_

Other (e.g., late filing surcharge): Submission of Information Disclosure Statement Fee Paid (\$) \_\_\_\_\_

180

**SUBMITTED BY**

Signature		Registration No. (Attorney/Agent) 32,938	Telephone 212-801-2244
Name (Print/Type)	Barry J. Schindler		Date July 6, 2007

This collection of information is required by 37 CFR 1.136. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 30 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

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EV569736884US



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Substitute for form 1449A/PTO

## INFORMATION DISCLOSURE STATEMENT BY APPLICANT

(Use as many sheets as necessary)

Sheet

of 3

## Complete If Known

Application Number	10/676,054
Filing Date	Sept. 30, 2003
First Named Inventor	Hakanoglu
Art Unit	3694
Examiner Name	Shanid V. Merchant
Attorney Docket Number	006878.114302

## U. S. PATENT DOCUMENTS

Examiner Initials*	Cite No.	Document Number Number-Kind Code <sup>2</sup> (7 known)	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
		US-2002/0046144	04-18-2002	Graff	
		US-2002/0065755	05-30-2002	Schaffman et al.	
		US-2002/0075007	06-13-2002	Ayache	
		US-2002/0094640	07-25-2002	Lange	
		US-2002/0103738	08-01-2002	Griebel et al.	
		US-2002/0147670	10-16-2002	Lange	
		US-2002/0178101	11-28-2002	Swift	
		US-2003/0014337	01-16-2003	Matthews et al.	
		US-2003/0023325	01-30-2003	Chen	
		US-2003/0028468	02-06-2003	Wong et al.	
		US-2003/0069817	04-10-2003	Graff	
		US-2003/0036188	02-20-2003	James	
		US-2003/0078470	04-24-2003	Daffer et al.	
		US-2003/0101125	05-29-2003	McGill et al.	
		US-2003/0115128	06-19-2003	Lange	
		US-2003/0130941	07-10-2003	Birley, Jr. et al.	
		US-2003/0135436	07-17-2003	Birley, Jr. et al.	
		US-2003/0135446	07-17-2003	Birley, Jr. et al.	

## FOREIGN PATENT DOCUMENTS

Examiner Initials*	Cite No.	Foreign Patent Document Country Code <sup>3</sup> Number <sup>4</sup> Kind Code <sup>5</sup> (7 known)	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear	T <sup>6</sup>

Examiner Signature

Date Considered

\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 809. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant. 1 Applicant's unique citation designation number (optional). 2 See Kinds Codes of USPTO Patent Documents at [www.uspto.gov](http://www.uspto.gov) or MPEP 801.04. 3 Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). 4 For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. 5 Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST.18 if possible. 6 Applicant is to place a check mark here if English language Translation is attached.

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Substitute for form 1449A/PTO

**INFORMATION DISCLOSURE  
STATEMENT BY APPLICANT**

(Use as many sheets as necessary)

Sheet

2 of 3

**Complete If Known**

Application Number	10/676,056
Filing Date	Sept. 30, 2003
First Named Inventor	14c Haugh
Art Unit	3694
Examiner Name	Shahid R. Merchant
Attorney Docket Number	06878.114302

**U. S. PATENT DOCUMENTS**

Examiner Initials*	Cite No.*	Document Number	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Column, Lines, Where Relevant Passages or Relevant Figures Appear
Number-Kind Code <sup>2</sup> (if known)					
		US 7003,0236738	12-25-2003	Lange	
		US 7004,0006520	01-08-2004	Birte, Jr. et al.	
		US 5,704,045	12-30-1997	Hing et al.	
		US 5,742,775	04-21-1998	King	
		US 5,802,501	09-01-1998	Graff	
		US 6,061,662	05-09-2000	Makivic	
		US 6,148,293	11-14-2000	Fins	
		US 6,167,384	12-26-2000	Graff	
		US 6,192,347	02-20-2001	Graff	
		US 6,278,981	08-21-2001	Demizu	
		US 6,321,212	11-20-2001	Lange	
		US 6,346,375	04-08-2003	Pakg et al.	
		US-			

**FOREIGN PATENT DOCUMENTS**

Examiner Initials*	Cite No.*	Foreign Patent Document	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Column, Lines, Where Relevant Passages or Relevant Figures Appear	T <sup>6</sup>
Country Code <sup>3</sup> Number <sup>4</sup> Kind Code <sup>5</sup> (if known)						

Examiner Signature	Date Considered

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This collection of information is required by 37 CFR 1.97 and 1.98. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 2 hours to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1460, Alexandria, VA 22313-1460.

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Substitute for form 144B/PTO				Complete if Known	
<b>INFORMATION DISCLOSURE STATEMENT BY APPLICANT</b>				Application Number	10/676,056
				Filing Date	Sept. 30, 2003
				First Named Inventor	Hakanoglu
				Art Unit	3694
				Examiner Name	Shahid R. Merchant
				Attorney Docket Number	008878.114502
(Use as many sheets as necessary)					
Sheet	3	of	3		

**NON PATENT LITERATURE DOCUMENTS**

Examiner Signature		Date Considered	
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\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 809. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

**1** Applicant's unique citation designation number (optional). **2** Applicant is to place a check mark here if English language Translation is attached.

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If you need assistance in completing the form, call 1-800-PTO-9199 and select option 2.

**CERTIFICATE OF MAILING BY "EXPRESS MAIL" (37 CFR 1.10)**

Applicant(s): Emerson Jones et al.

JULY 6 2007

Docket Number

006878.114502

Serial No.  
10/676,056Filing Date  
September 30, 2003Examiner  
Shahid R. MerchantGroup Art Unit  
3694

Invention: METHOD AND SYSTEM FOR ANALYZING A CAPITAL STRUCTURE FOR A COMPANY

I hereby certify that the following correspondence:

Information Disclosure Statement (1 page);  
PTO SB/08a & SB/08b (3 pgs);  
4 non-patent literature documents  
Fee transmittal authorizing deduction of \$180.00 from Deposit Account 50-1561  
Return Receipt Postcard

*(Identify type of correspondence)*

is being deposited with the United States Postal Service "Express Mail Post Office to Addressee" service under 37 CFR 1.10 in an envelope addressed to: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450 on

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